

個人/聯名賬戶 INDIVIDUAL/JOINT A/C

- 證券 SECURITIES
 期貨/期權 FUTURES/OPTIONS

賬戶號碼 A/C No.	
客戶名稱 A/C Name	
全權委託賬戶 Discretionary A/C	<input type="checkbox"/> 是 Yes <input type="checkbox"/> 否 No
賬戶分類 A/C Classified	<input type="checkbox"/> 本公司 House <input type="checkbox"/> 經紀 Account Executive 編碼 Code:



中投証券(香港)
 CHINA INVESTMENT SECURITIES (HK)

開戶表格補充文件

Supplementary document to Account Opening Form

適用於 For :

中投證券國際經紀有限公司
 China Investment Securities International Brokerage Limited
 中投證券國際期貨有限公司
 China Investment Securities International Futures Limited

中投證券國際經紀有限公司(CE No: AYA587)及中投證券國際期貨有限公司(CE No:AZQ989)為獲證券及期貨條例事務監察委員會發牌的持牌法團, 分別可經營證券及期貨條例附表 5 第 1 部份中所指第 1 類和第 4 類及第 2 類和第 5 類受規管活動。中投證券國際經紀有限公司乃是香港聯合交易所有限公司參與者, 而中投證券國際期貨有限公司則為香港期貨交易所有限公司參與者。

China Investment Securities International Brokerage Limited (CE No: AYA587) and China Investment Securities International Futures Limited (CE No:AZQ989) are licensed corporations by Securities and Futures Commission for carrying out Type 1 and Type 4, and Type 2 and Type 5 regulated activities respectively in Schedule 5 to the Securities and Futures Ordinance. China Investment Securities International Brokerage Limited is an exchange participant of The Stock Exchange of Hong Kong Limited and China Investment Securities International Futures Limited is an exchange participant of The Futures Exchange of Hong Kong Limited

1. 額外個人資料 Additional Personal Information

1. Self-certification of U.S. tax residency by Individual Clients

個人客戶自行證明美國稅務居民地位

- Please check "✓" Yes or No for each of the following questions:
請為以下各問題勾選「✓」「是」或「否」：

1. Are you a U.S. tax resident*? Yes No
閣下是否美國稅務居民*? 是 否
2. Are you a U.S. citizen**? Yes No
閣下是否美國公民**? 是 否

(If you hold multiple citizenships, tick "Yes" if one of them is U.S.)
(如果閣下擁有多個國籍，且其中一個國籍是美國，請勾選「是」)

If you check "yes" on any of the questions 1 to 2 above, please complete Form W-9
如果閣下在上文問題 1 或問題 2 勾選「是」，請填寫 W-9 表格

* U.S. tax residents include Green Card holder (i.e. holder of U.S. Permanent Resident card) as well as individual who meets the substantial presence test To meet the substantial presence test, the Controlling Person must have been physically present in the U.S. on at least:

- 31 days during the current year, and
- 183 days during the 3 year period that includes the current year and the 2 years immediately before. To satisfy the 183 days requirement, count:
 - All of the days you were present in the current year, and
 - One-third of the days you were present in the first year before the current year, and
 - One-sixth of the days you were present in the second year before the current year.

Please seek advice from your tax advisor regarding the substantial presence test when necessary.

*美國稅務居民包括綠卡持有人（即美國永久居民卡的持有人）以及通過實質居住測試的人士。為了通過實質居住測試，控制人必須：

- 當前年度在美國實質居住至少 31 天，及
- 於包括當前年度及緊接之前 2 年的 3 年期間在美國實質居住至少 183 天。183 天居住規定的計算方法如下：
 - 當前年度的所有居住天數，及
 - 當前年度之前第一年居住天數的三分之一，及
 - 當前年度之前第二年居住天數的六分之一。

請在有必要時就實質居住測試向閣下的稅務顧問徵求建議。

** U.S. citizens include individuals born in the U.S. territory or possession of the United States (i.e., American Samoa, Guam, the Northern Mariana Islands, Puerto Rico, or the U.S. Virgin Islands).

** 美國公民包括在美國領土或美國屬地（即美屬薩摩亞、關島、北馬里亞納群島、波多黎各和美國維爾京群島）出生的人士。

2. Self-certification of non U.S. tax residency by Individual Clients
個人客戶自行證明非美國稅務居民地位

- Please provide form W-8
請提供 W-8 表格

**2. 客戶聲明、承認及同意 Declaration, Acknowledgement and Agreement
By Client**

本人/吾等聲明、承認、確認并同意：I/We declare, acknowledge, confirm and agree that:

1. Inform CISIB and/ or CISIF upon change of client information
客戶在相關資料發生變化時通知中投國際經紀及/ 或中投國際期貨

If there is a change in information on a Form W-8BEN/information on the account opening form or other documentation for which the client provided to CISIB and/ or CISIF, the client should notify CISIB and/ or CISIF within 30 days of such change and furnish a new Form W-8BEN or documentary evidence for documentation purposes.

倘若 W-8BEN 表格上的資料／開戶表或客戶向中投國際經紀及/ 或中投國際期貨提供的其他文件所載資料發生變化，客戶應於 30 天內通知中投國際經紀及/ 或中投國際期貨發生該等變化，並提供新的 W-8BEN 表格或文件證明，以記錄在案。

2. Client may provide additional identification documents for FATCA purposes
客戶可能需要就 FATCA 目的，提供額外身份證明文件

CISIB and/ or CISIF reserves the right to request and the client has the obligation to provide to CISIB and/ or CISIF additional documentary evidence to validate the U.S. or non-U.S. status when potential U.S. indicia or change in circumstances is noted by CISIB and/ or CISIF during the course of relationship.

當中投國際經紀及/ 或中投國際期貨在合作期間留意到有潛在美國人身份標記或情況發生變化時，中投國際經紀及/ 或中投國際期貨保留權利以索取且客戶有義務向中投國際經紀及/ 或中投國際期貨提供額外文件證明，以核實美國人或非美國人身份。

If the client fails to provide CISIB and/ or CISIF with any of the necessary information within 30 days, CISIB and/ or CISIF should be entitled to reserves the right to close the accounts or classify the account as "non-consenting" or "non-participating FFI" or execute withholding and reporting under FATCA regulations.

倘若客戶未能在 30 天內向中投國際經紀及/ 或中投國際期貨提供任何必需的資料，中投國際經紀及/ 或中投國際期貨保留結束客戶的帳戶或將該帳戶分類或「不同意」或「非參與外國金融機構」的權利，或根據 FATCA 規則預扣稅款及作出申報。

<p>3. Client consents to disclose information to tax authority 客戶同意披露資料予稅務機關</p> <p>Client consents CISIB and/ or CISIF to submit information of the client to the U.S. tax authority, if required (e.g. if the client is U.S. person).</p> <p>客戶同意中投國際經紀及/ 或中投國際期貨可在有必要時（若客戶持有人為美國人士）向美國稅務機關提交客戶的資料。</p>	
<p>本開戶文件擬定中英文版本，兩種語言版本均具同等效力，但應以英文版本解譯並視為確實及具最終效力。</p> <p>This document are drawing in English and Chinese Languages, all two versions being equally authenticated. However, the English Language version shall deem to be conclusive and prevail.</p>	
<p>4. 客戶簽署 Client Signature</p>	
<p>茲見證本人/吾等簽署本開戶文件於：_____年_____月_____日。</p> <p>IN WITNESS WHEREOF I/We have set my/our hands this _____ day of _____.</p>	
<p>簽署及蓋章 Signed and Sealed By :</p> <p>_____✍</p>	<p>姓名（正楷）： Name（Block Letter）：</p>
<p>5. 簽署安排（只適用於聯名賬戶） Signing Arrangement（For Joint Account Only）</p> <p>賬戶簽署安排和操作指示方式： Account is to be signed and operated on instruction by :</p>	
<p><input type="checkbox"/> 任可一位賬戶持有人 Either one of the account holder</p>	<p><input type="checkbox"/> 所有賬戶持有人 All account holders</p>